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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 3435.1A**Effective Date: March 11,
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Subject: NASA Performance Management Plan for the Senior Executive Service w/Change 1 (3/29/04)

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Chapter 2. Basic Provisions

2.1 Responsibilities

2.1.1 The Administrator approves the Annual Summary Rating for all NASA senior executives.

2.1.2 EPM's implement NASA performance appraisal policy, conduct the annual performance appraisal process, and recommend performance awards or other appropriate personnel actions for senior executives in their organization. They provide training and disseminate information on the NASA Performance Management System to each senior executive under their cognizance.

2.1.3 IPO's exercise management oversight over executive resources at the Centers where their activity is dominant. They consolidate documentation required by the PRB and provide interleaved lists of senior executives nominated for bonuses.

2.1.4 The PRB reviews Initial Summary Ratings and recommends Annual Summary Ratings for the Administrator's approval. The PRB evaluates the effectiveness of the NASA Appraisal System and reports its findings and any appropriate recommendations for process improvement to EPM's and appropriate policy changes to the Associate Administrator for Human Resources and Education.

2.1.5 Immediate supervisors of senior executives consult with senior executives and develop individual performance plans at the beginning of the appraisal period, conduct at least one midterm progress review, maintain records necessary to document performance, appraise performance, and assign and discuss the Initial Summary Rating with senior executives they supervise. They provide completed Initial Summary Rating documentation for PRB review. They recommend performance-based personnel actions, as appropriate.

2.2 System Requirements

2.2.1 Performance requirements are established and conveyed by the supervisor in consultation with each senior executive at the beginning of the appraisal period. A written performance plan will be provided to the senior executive, normally within 30 calendar days after the beginning of the appraisal period.

2.2.2 Normally, each executive will be given a rating as of June 30 each year.

2.2.3 When a rating cannot be prepared as of June 30 because the executive has not served under a performance plan for the minimum appraisal period (120 days) by June 30, the executive's appraisal period shall be extended for the amount of time necessary to meet the minimum appraisal period, and a rating will be determined as of that date.

2.2.4 The appraisal of a senior executive's performance and the assignment of an Initial Summary Rating at the end of an appraisal period is the responsibility of the supervisor of record in the organization to which the executive is permanently assigned on that date. If a senior executive serves in more than one position during an appraisal period, each supervising official will provide rating input for consideration by the supervisor of record in the assessment for the total period.

2.2.5 When a senior executive changes jobs or transfers to another agency after completing the minimum appraisal period, the supervisor must appraise the executive's performance in writing before the executive leaves, and this appraisal must be considered by the gaining supervisor when developing the Initial Summary Rating at the end of the appraisal period.

2.2.6 An executive may provide a written response within 10 days of receipt of an Initial Summary Rating and/or request a higher level review.

2.2.7 The PRB will consider the Initial Summary Rating, any written response from the senior executive, any recommended different ratings, and any comments from successive higher review(s) and recommend an Annual Summary Rating. The PRB may conduct any further review it finds necessary before determining a recommendation.

2.2.8 The final Annual Summary Rating is determined by the Administrator. In making this determination, the Administrator must consider the recommendation of the PRB.

2.2.9 Except within 120 days after the beginning of a new Presidential administration with respect to career appointees, a performance appraisal period may be terminated and an Initial Summary rating assigned if an executive has served for at least 120 days in the SES under a performance plan, when a supervisory official determines that an adequate basis exists on which to appraise the senior executive's performance. A plan to assist in improving performance must be developed before an appraisal period is terminated for less-than-fully successful performance. The plan may include, but is not limited to, formal training, on-the-job training, counseling, and closer supervision.

2.2.10 Performance appraisals and ratings may not be appealed to the Merit Systems Protection Board.

2.2.11 A career senior executive with an Annual Summary Rating of Fully Successful or above is eligible to be considered for an SES Performance Award (Bonus), an increase in pay, Presidential Rank Award (after a minimum of 3 years in the SES), and Incentive Awards.

2.2.12 A career senior executive with an Annual Summary Rating of less than Fully Successful may be considered for a reduction in pay.

2.2.13 A career senior executive who receives an Annual Summary Rating of "Unsatisfactory" will be reassigned to another SES position or removed from the SES.

2.2.14 A career senior executive who receives two "Unsatisfactory" Annual Summary Ratings during any 5-year period or two less-than-"Fully Successful" Annual Summary Ratings during any 3-year period must be removed from the SES.

2.2.15 A career senior executive who is removed from the SES for performance shall be entitled to placement in a continuing position at GS-15 or above (or an equivalent position) without loss of pay. An otherwise eligible senior executive removed from the SES for performance may elect discontinued-service retirement rather than fall back to a GS-15 position.

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